



-1-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Inventor(s): James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR  
TAX SENSITIVE PORTFOLIO  
OPTIMIZATION

Group Art Unit: 2161

Examiner: Unknown

**LETTER TO THE COMMISSIONER  
FOR PATENTS**

121 Spear Street, Suite 290  
San Francisco, CA 94105  
(415) 512-1312

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Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope, addressed to: Commissioner for Patents, Washington, DC 20231 on October 31, 2002.

STALLMAN & POLLOCK LLP

Dated: 10/31/2002 By: Georgia K. Stith

Georgia K. Stith

Sir:

Enclosed for filing in the above-identified application are:

1. Submission of Revocation of Prior Powers and Appointment of New Counsel by Assignee (including executed Revocation); and
2. Status Request.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Dated: October 31, 2002

By: Brian J. Keating

Brian J. Keating  
Reg. No. 39,520

Attorneys for Applicant(s)

TC 2100 CSO  
STATUS RESPONSE DATE

Atty Docket No. SCHB-2700

NOV 12 2002  
Initials: LL  
EXP'D OA: 0-3  
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PATENT

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Group No.: 2161

Examiner: Unknown

**SUBMISSION OF REVOCATION OF  
PRIOR POWERS AND APPOINTMENT  
OF NEW COUNSEL BY ASSIGNEE**

121 Spear Street, Suite 290  
San Francisco, CA 94105

Commissioner for Patents  
Washington, DC 20231

Sir:

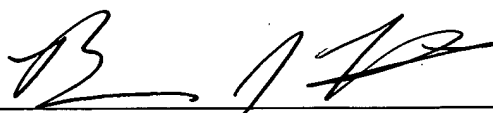
Enclosed for filing please find a duly executed Revocation of Prior Powers and Appointment of New Counsel by Assignee for the above-identified application which specifies an Assignment recordal date of September 5, 2000, at Reel 11066, Frame 875, and shows Assignee's entire right, title and interest to establish ownership.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Date: October 31, 2002

By:

  
Brian J. Keating (Reg. No. 39,520)

Attorneys for Applicant(s)

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**GROUP 3600**

Atty Docket No.: SCHB-2700



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Group Art: 2161

Examiner: Unknown

REVOCATION OF PRIOR POWERS  
AND APPOINTMENT OF NEW  
COUNSEL BY ASSIGNEE

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Commissioner for Patents  
Washington, D.C. 20231

Sir:

CHARLES SCHWAB & CO., assignee of the entire right title and interest in the above-identified application by assignment dated September 5, 2000, which assignment was recorded in the Patent and Trademark Office on September 5, 2000, at Reel 11066, frame 875, hereby revokes all prior powers of attorney and appoints the members of the firm of STALLMAN & POLLOCK LLP, a firm composed of:

Michael A. Stallman  
Michael J. Pollock

29,444  
29,098

Kathleen A. Frost  
Brian J. Keating

37,326  
39,520

as its attorneys with full power of substitution to prosecute this application and to transact all business in the Patent and Trademark Office in connection therewith.

Please direct all correspondence regarding this application to the following:

STALLMAN & POLLOCK LLP  
Attn: Brian J. Keating  
121 Spear Street, Suite 290  
San Francisco, CA 94105

Telephone: (415) 512-1312  
Facsimile: (415) 512-1362

CHARLES SCHWAB &amp; CO.

Dated: 10/31/02

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By:

Name: Yusuf CassimTitle: Vice President & Associate General Counsel